

STATEMENT UNDER 37 CFR 3.73(b)

Applicant/Patent Owner: SAMPSON et al.

Application No./Patent No./Control No.: to be determined Filed/Issue Date: to be determined

Entitled: SMOKING ARTICLE AND APPARATUS AND PROCESS FOR MANUFACTURING A SMOKING ARTICLE

BRITISH AMERICAN TOBACCO (INVESTMENTS) LIMITED, a corp. existing under the laws of England and Wales
(Name of Assignee) (Type of Assignee: corporation, partnership, university, government agency, etc.)

states that it is:

1. ☒ the assignee of the entire right, title, and interest; or
2. ☐ an assignee of less than the entire right, title and interest
(The extent (by percentage) of its ownership interest is _____ %)

In the patent application/patent identified above by virtue of either:

- A. ☒ An assignment from the inventor(s) of the patent application/patent identified above. The assignment was recorded in the United States Patent and Trademark Office at Reel _____, Frame _____, or a true copy of the original assignment is attached.

OR

- B. ☐ A chain of title from the inventor(s), of the patent application/patent identified above, to the current assignee as follows:

1. From: _____ To: _____
The document was recorded in the United States Patent and Trademark Office at Reel _____, Frame _____, or for which a copy thereof is attached.
2. From: _____ To: _____
The document was recorded in the United States Patent and Trademark Office at Reel _____, Frame _____, or for which a copy thereof is attached.
3. From: _____ To: _____
The document was recorded in the United States Patent and Trademark Office at Reel _____, Frame _____, or for which a copy thereof is attached.

- ☐ Additional documents in the chain of title are listed on a supplemental sheet.

As required by 37 CFR 3.73(b)(1)(i), the documentary evidence of the chain of title from the original owner to the assignee was, or concurrently is being, submitted for recordation pursuant to 37 CFR 3.11.

[NOTE: A separate copy (i.e., a true copy of the original assignment document(s)) must be submitted to Assignment Division in accordance with 37 CFR Part 3, to record the assignment in the records of the USPTO. See MPEP 302.08]

The undersigned (whose title is supplied below) is authorized to act on behalf of the assignee.

R.W. Drakeford

Signature

ROBERT DRAKEFORD

Printed or Typed Name

COMPANY PATENT ATTORNEY

Title

04/09/06

Date

023.80793730

Telephone Number

This collection of information is required by 37 CFR 3.73(b). The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.11 and 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 and select option 2.

Privacy Act Statement

The Privacy Act of 1974 (P.L. 93-579) requires that you be given certain information in connection with your submission of the attached form related to a patent application or patent. Accordingly, pursuant to the requirements of the Act, please be advised that: (1) the general authority for the collection of this information is 35 U.S.C. 2(b)(2); (2) furnishing of the information solicited is voluntary; and (3) the principal purpose for which the information is used by the U.S. Patent and Trademark Office is to process and/or examine your submission related to a patent application or patent. If you do not furnish the requested information, the U.S. Patent and Trademark Office may not be able to process and/or examine your submission, which may result in termination of proceedings or abandonment of the application or expiration of the patent.

The information provided by you in this form will be subject to the following routine uses:

1. The information on this form will be treated confidentially to the extent allowed under the Freedom of Information Act (5 U.S.C. 552) and the Privacy Act (5 U.S.C. 552a). Records from this system of records may be disclosed to the Department of Justice to determine whether disclosure of these records is required by the Freedom of Information Act.
2. A record from this system of records may be disclosed, as a routine use, in the course of presenting evidence to a court, magistrate, or administrative tribunal, including disclosures to opposing counsel in the course of settlement negotiations.
3. A record in this system of records may be disclosed, as a routine use, to a Member of Congress submitting a request involving an individual, to whom the record pertains, when the individual has requested assistance from the Member with respect to the subject matter of the record.
4. A record in this system of records may be disclosed, as a routine use, to a contractor of the Agency having need for the information in order to perform a contract. Recipients of information shall be required to comply with the requirements of the Privacy Act of 1974, as amended, pursuant to 5 U.S.C. 552a(m).
5. A record related to an International Application filed under the Patent Cooperation Treaty in this system of records may be disclosed, as a routine use, to the International Bureau of the World Intellectual Property Organization, pursuant to the Patent Cooperation Treaty.
6. A record in this system of records may be disclosed, as a routine use, to another federal agency for purposes of National Security review (35 U.S.C. 181) and for review pursuant to the Atomic Energy Act (42 U.S.C. 218(c)).
7. A record from this system of records may be disclosed, as a routine use, to the Administrator, General Services, or his/her designee, during an inspection of records conducted by GSA as part of that agency's responsibility to recommend improvements in records management practices and programs, under authority of 44 U.S.C. 2904 and 2906. Such disclosure shall be made in accordance with the GSA regulations governing inspection of records for this purpose, and any other relevant (i.e., GSA or Commerce) directive. Such disclosure shall not be used to make determinations about individuals.
8. A record from this system of records may be disclosed, as a routine use, to the public after either publication of the application pursuant to 35 U.S.C. 122(b) or issuance of a patent pursuant to 35 U.S.C. 151. Further, a record may be disclosed, subject to the limitations of 37 CFR 1.14, as a routine use, to the public if the record was filed in an application which became abandoned or in which the proceedings were terminated and which application is referenced by either a published application, an application open to public inspection or an issued patent.
9. A record from this system of records may be disclosed, as a routine use, to a Federal, State, or local law enforcement agency, if the USPTO becomes aware of a violation or potential violation of law or regulation.

ASSIGNMENT OF INVENTION
AND OF LETTERS PATENT

Whereas, (the "**Inventors**"), **John Roger Sampson**, whose post office address is British American Tobacco R&D Centre, Regents Park Road, Southampton SO15 8TL Great Britain; **Richard Oliver**, whose post office address is British American Tobacco R&D Centre, Regents Park Road, Southampton SO15 8TL Great Britain; **Gordon Rowatt Grierson**, whose post office address is British American Tobacco R&D Centre, Regents Park Road, Southampton SO15 8TL Great Britain; and, **Dominic Woodcock**, whose post office address is British American Tobacco R&D Centre, Regents Park Road, Southampton SO15 8TL Great Britain have invented certain improvements in a **SMOKING ARTICLE AND APPARATUS AND PROCESS FOR MANUFACTURING A SMOKING ARTICLE**, (the "**Invention**"), and have executed a U.S. utility patent application for United States Letters Patent of the same title, herewith (the "**Application**"), claiming priority as a '371 filing from PCT/GB2005/000669, filed on February 28, 2005, which claims priority to and benefit from Great Britain Patent Application Serial Number GB0404324.6, filed on February 27, 2004; and,


Whereas, (the "**Assignee**"), **British American Tobacco (Investments) Limited**, a corporation existing under the laws of England and Wales, whose post office address is Globe House, 1 Water Street, London, United Kingdom WC2R 3LA (including its successors and assigns), desires to acquire our entire right, title and interest in said **Application** and **Invention**, and any United States patents to be obtained therefor;

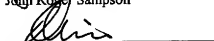
Now therefore, for good and valuable consideration, the receipt of which is hereby acknowledged, we hereby sell, assign and transfer unto said **Assignee**, the entire right, title and interest in said **Application** and the **Invention** disclosed therein for the United States of America, including rights of priority under the International Convention of Paris (1883) as amended and the entire right, title, and interest in and to any and all patent applications, patents, continuations, continuations-in-part, divisionals, and reissues based thereon which may be filed or granted therefor in the United States. I agree to cooperate with **Assignee**, and to execute without

additional consideration any additional documents as deemed necessary by Assignee, to apply for or maintain patents or other legal protection for the **Invention** in the United States of America.

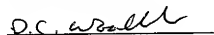
I hereby authorize and request the U.S. Commissioner of Patents and Trademarks to issue any Letters Patent granted upon the invention set forth in this **Application** to said Assignee.

ASSIGNORS/INVENTORS:



John Roger Sampson


Richard Oliver

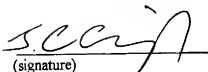

Gordon Rowatt Grierson


Dominic Woodcock

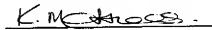
ASSIGNEE:


Robert ~~Bob~~ Drakeford (on behalf of British American Tobacco (Investments) Limited in the capacity of Assistant Company Secretary)

WITNESSES:


(signature)

JAMES CUNNINGTON
(print name and address)
BRITISH AMERICAN TOBACCO R&D CENTRE
REGENTS PARK ROAD
SOUTHAMPTON SO15 8TL
ENGLAND.


(signature)

KAREN MATTHEWS
(print name and address)
BRITISH AMERICAN TOBACCO
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